AD-421 - Annual Research Progress Report

Introduction

The AD-421 is an annual report of a project's research progress and accomplishments. The report consists of responses to seven Questions and a list of Publications summarizing the progress and accomplishments of the research project during the past year. The questions are designed to serve the reporting needs of the Agency. Some uses include, but are not limited to:

- To support the ARS budget request to Congress.
- To report accomplishments against the ARS Strategic Plan [Government Performance and Results Act (GPRA)].
- To summarize the major accomplishments of each National Program for inclusion in the National Program Annual Reports (NPARs)
- To enable the ONP to respond to countless other requests for information throughout the year.
- To retrospectively assess the project's progress towards meeting the goals of the National Program (NP) and will be used to report progress to the next NP Workshop. (by independent external panels and ONP)
- To terminate projects that have passed their 5 year maximum life cycle (expired) during the past year and other projects as appropriate (instrument used for termination).

   Note: These reports are not used by Headquarters for evaluation of personal performance.

The AD-421 system is open once a year during May through September. In May, the Associate Administrator initiates a memo requesting Research Project Reports (AD-421) for the current fiscal year. The memorandum provides guidance on preparing the annual report and provides report due dates specific for each reporting year. See memo dated April 15,2010 to Area Directors, Chapter 15E. 1. Memo (http://www.npstaff.ars.usda.gov/ARIS/Manual/421memoandinstructions2010.pdf). Management Units submit annual reports to the Area from mid-June through August. Each Area may set up their own due dates to ensure sufficient time to review and forward their annual reports to ONP by October 1.

Reports are required **annually** for all **active** projects (except incoming agreements under $25,000) as well as any **expired** projects to complete the termination process.

Terminating Projects

ARS research projects exist a maximum of five years (60 months) duration. When an in-house "D" project expires, it is replaced by a new project and the funding is transferred to the new project, or the funding is redirected to another existing project. Once funding is transferred from the expiring project, the status of the project is changed to expired ("X"). The 421 Annual Report process terminates these projects. If any subordinate projects expire throughout the year, their status should be changed to expired status and then terminated through the annual report process as well.

Responsibilities for Project Termination

  Area Program Analyst/MUs
- Expires (changes status from "A" to "X") sibling project types T, R, S, C, G, A, M, N, J (RSAs should be expired, but are terminated through the AIMS closeout process; no annual reports for RSAs)
- States in Remarks: 421 progress report required to terminate project
  Headquarters Program Analyst (PA)
- Expires (changes status to 'X') 'D' type projects once all funding is transferred
- States in Remarks: 421 annual report required to terminate project, identifies project number that replaces expiring project
- BPMS transfers the funds to an approved project (action is originally initiated by the MU)

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Termination Process

When the project status in ARIS is expired ("**X**"), the 421 Annual Report should be entered during the 421 open season. On the Project Info screen, answer "**Yes**" to "**Would you like to terminate this project?**" and submit the annual report for approval electronically. By answering "**Yes**", ARIS will automatically terminate the project at the end of the annual report cycle (approximately December/January). *(Note: See Pg. 5 "AD-421 Exceptions" for more information on projects terminating in the first two months of the next fiscal year)*

To Terminate 'D' Type Projects
- Status must show "X"
- Net to Location dollars must be $0

To Terminate Subordinate Projects (T, R, S, C, G, A, N, M)
- Status should be "X". (Once a project passes its expiration date, status should be changed accordingly).
- Agreement status MUST be "Closed".
- Net to Location dollars are irrelevant.
- **Verify all funding on S, C, A, or G projects has been used or transferred to another project before the project is terminated. For R & T projects, verify that no additional funding will be received.**
- **NOTE: RSAs (J) do not require 421s. Therefore, termination of these projects will occur during the AIMS closeout process.**

AD-421 Requirements

- All reports of progress on active projects should cover the period October 1 (or start date, if a new project) to September 30 (or expiration date if earlier than September 30).
- The requirement of Annual reports applies to all projects: in-house (D), trust and reimbursable agreements (T & R), specific cooperative agreements (S), general cooperative agreement (A), grants (G), cross-location projects (L), non-funded cooperative agreements (N), memorandum of understanding (M), and other special projects. *RSAs (J) do not require annual reports.*
- If the starting date for a project is June, the scientist should describe the research that is in progress as much as possible, even though data may be limited. "No progress" is an unacceptable response. If a project begins in July or August, the annual report will be required on a case-by-case basis. Consult the Area Program Analyst for additional guidance.
- It is the responsibility of the Lead Scientist of the project to provide information for the research progress report(s).
- Prior year 421s should be provided to the scientist to use as a reference in writing the current year's report. The Lead Scientist is responsible (with consultation of other SYs on the project) for providing the information for the 421 Report.
- **Note: Minimize technical jargon and write for a well-informed, non-technical reader. Scientists should explain their research and accomplishments in terms that average people can read and understand. No SY names or CRADA partners should be listed in the reports. Reports should be short and concise.**

Subordinate Research Projects
Departmental requirements necessitate annual reports for all research projects. All inhouse, appropriated "D" projects require the full report. For all subordinate (sibling) projects, with the exception of the projects designated in Chapter 15E, Appendix A, "List of Subordinate Projects Requiring Full Annual report**"** (http://www.npstaff.ars.usda.gov/ARIS/Manual/AppendixAannreportinst2010.pdf) which is distributed each year,

only Question 3 (Report of Progress) is required**.** All other questions are optional. For Question 3, a report of the project's activities during the last year is sufficient. A reference to the associated in-house project **MUST** be included. Maximum length for Question 3 is 3,200 characters.

The progress report for subordinate projects will first identify the outside organization and the associated in-house project, which includes the project number and project title. **NOTE: The system will automatically populate this data in. You must review it for accuracy and correct as appropriate**. (Example: "This report documents research conducted under a reimbursable agreement between ARS and the U.S. Fish and Wildlife Service. Additional details of research can be found in the report for the in-house associated project 6225-12320-001-00D, Soil Erosion Research.").

The progress reports should state the relationship of the project to the objectives of the related in-house project.

Major accomplishments of the subordinate project (i.e., accomplishments that are candidates for inclusion in the National Program Annual Report, budget documents, and/or GPRA reports) should be captured and reported in the related in-house research project's AD-421. Give credit, as appropriate, to the cooperating institution.

Additional Requirement for Outgoing agreements only (S, C, G, N, M): The ADODR is required to document monitoring activities for the subordinate project within Question 3. They must state the methods used for monitoring, such as meetings, conference calls, site visits, etc. (refer to the ADODR P&P for more information on this requirement at (http://www.afm.ars.usda.gov/ppweb/pdf/701-0.pdf)*.*

<u>Note</u>: *For all inhouse "D" projects, answering Question 3, is <u>MANDATORY.</u>*

<u>If the inhouse, "D" project is terminating during the annual report cycle, Question 3 should be written as such, and briefly summarize the life and accomplishments of the project.</u>

Scientific Publications
- Only list publications for the current fiscal year, e.g. if reporting for fiscal year 2010, do not list any publications with an October 2010 publication date or later.
- Prior year publication(s) may be listed in this fiscal year's reporting timeframe only if they were not listed in a prior reporting cycle.
- There is no length limitation for publication citations.
- If there are no publications to enter, leave the field blank. "None" or "No Publications" is unacceptable.
- Do not include a publication if it is not **in print.** "In Press" or "Accepted" are not acceptable.
- List publications only once and in association with only one project in a MU.
- Co-authors, located in other management units, may include the publication(s) in annual reports from their own management units.
- Publications must include a complete journal citation.
- The ARS-115 log number is used to select each publication to be entered, therefore, there must be an approved "ARS-115 Manuscript Approval" for every publication.
- Only Peer Reviewed Journal Articles (J); Review Articles (R) related to the subject of the project; Book or Book Chapters (B); or Germplasm Registration Articles (H) can be listed under the publication section.
- ARIS will automatically check for use of publications in prior years and on other AD-421s in the same MU (using 115 log numbers). If used in a previous year, ARIS will not allow inclusion in the current fiscal year or within the same MU. *In addition, once a 115 is used on a 421, the 115 will be marked as "Used on 421" for future reference.*

- For more information on citation format, see Chapter 5, Appendix 2 of the ARIS Online Manual.

AD-421 Exceptions

- If a project has a one-year or less duration, an annual report is required. To terminate the project, be sure to answer "**Yes**" to "**Would you like to terminate this project?**" if this is the **only and last report.**

- If the project will expire in the first two months of the next fiscal year (October thru November 30), answer "**Yes**" for both questions on the "**Project Info**" screen. This will then mark the project to be terminated at the end of the current FY annual report cycle (approximately December/January). **Note: Please be sure that the project will not be extended before answering Yes to both questions.**

  Note: This is a two-month grace period. If a project expires within the first two months of a fiscal year (reporting period), an annual report is not required for that fiscal year. The previous fiscal year's annual report (421) will be the final progress report and should be written as such. If the project is not at its five year maximum duration and there is a chance that the project will be extended or receive additional funds, answer the questions "**No**".

AD-421 Questions for FY 2010

1a.   Background - Objectives (verbatim extract from the AD-416; no editing on the 421 is permitted).
1b.   Background - Approach (verbatim extract from the AD-416; however, must be edited to remove Biosafety Level (BSL) information only).

2.   Milestones for FY2010 (currently approved milestones). *Note: For each milestone, indicate the status: fully met, substantially met, or not met by checking the appropriate box in ARIS. If not met, indicate why by selecting from the four options in the List of Values (LOV) provided in ARIS. An "Optional" field is available to give an explanation of milestone status. If the milestone is not met, in addition to the selection of the reason from the LOV, a brief explanation as to why should be provided.*

3.   Progress Report *(report of progress for the fiscal year) (Note: NP code, Component, and Problem Statement from the NP Action Plan will be designated through use of a LOV)* **NOTE: NP/C/PS only required for "D" Projects.**

4.   Significant research accomplishments during FY 2009 (in order of importance). *(Note: NP code, Component, and Problem Statement from the NP Action Plan will be designated through use of a LOV)*

5.   List significant activities that support special target populations.

6.   Technology Transfer *(list and give description of the technology transferred in the fiscal year)*

7.   International Cooperation/Collaboration *(list any intl coop/collab associated with the project)*

Scientific Publications

Adding the 421

In ARIS, from the Research Documentation screen, click "**Work**" and "**Annual 421 Reports**" (fig. 1). The Annual 421 Records List screen opens with a list of the shells for the projects within the user's mode code that require an annual report (fig. 2).
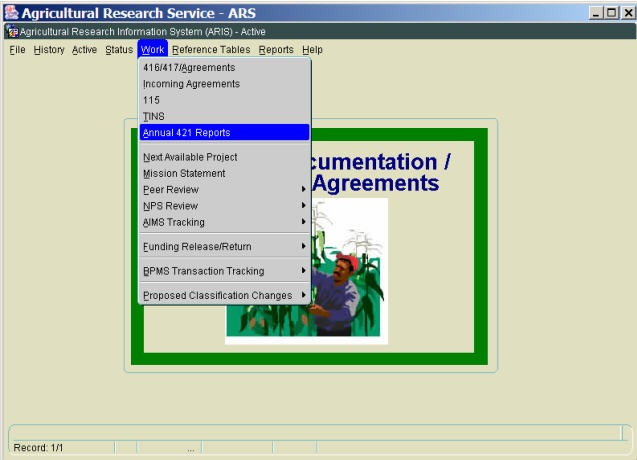
Fig. 1 – Research Doc, Annual 421 Reports
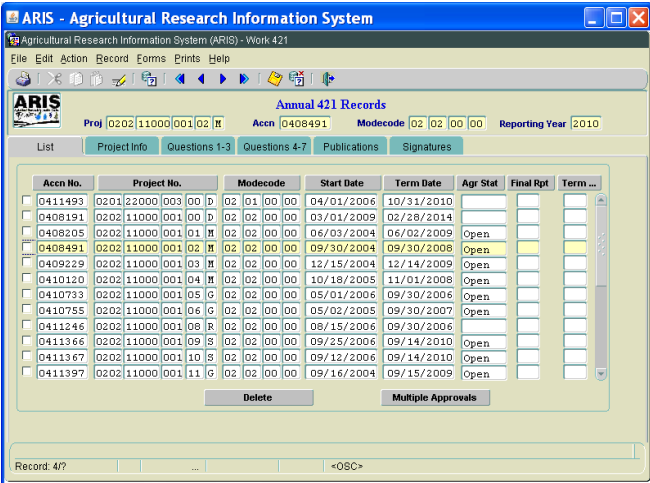
Fig. 2 – Annual Report List Screen

From the List screen, place the cursor on the Project Number and click the "**Project Info**" tab. The Project Info screen will be displayed (fig. 3).

Fig. 3 – Project Info Screen

Answer the questions "**Would You Like to Terminate This Project?**" and "**Will This Project Terminate Within the First 2 Months of FY 2010?**" by clicking the boxes next to each question and selecting the appropriate answer. (See explanation of questions on pg. 3 and pg. 5)

Note: If terminating extramural projects, be sure that all funds are spent and the agreement is closed. If funding is not spent, transferred, or deobligated, <u>DO NOT</u> terminate through the annual report process. NOTE: Agreement status must show as "Closed" to terminate.

Note: On the Project Info screen, the Agreement number and Performing Institute fields pertain only to subordinate projects (S, C, G, A, M, and N projects) or Source of Funds for R and T projects. These fields are generated by ARIS. No data entry is required.

Data Entry & Using a MS Word File ("Load Questions")

The AD-421 can be manually entered online by clicking from tab to tab and entering the data for each question. Or, it can be entered partially by importing a Microsoft (MS) Word file for Questions 3, 4, & 5 and then entering responses for Questions 2, 6, 7, and publications, which must be entered while online in ARIS.

Question 1: System automatically inserts data
Question 2: System automatically inserts data (must manually remove BSL information)
Question 3: Load questions or manual entry on line; LOV must be used online to select NP/C/PS designation
Question 4: Load questions or manual entry online; LOV must be used online to select NP/C/PS designation
Question 5: Load questions or manual entry online
Question 6: Manual entry online; system automatically inserts some data based on set criteria.
Question 7: Manual entry online
Publications: Manual entry online by selection of ARS-115 Log Number(s).

The following formatting instructions for the MS Word file must be followed for correct importing.

Formatting Instructions for MS Word File:
- Question 3 and 5 must begin with the word "Question" and the number (3 or 5) followed by a colon (:) (e.g., Question 3: or Question 5:).
- Question 4 must be formatted by using the label "Accomplishment 1: or Accomplishment 2:, etc). **DO NOT USE "Question 4:" as a label for the accomlishments question** (see the example below). This format tells ARIS to insert each response under the correct question. The responses should follow the questions starting on the next line. **NOTE: Each accomplishment should have a short title, followed by a period. The text of the accomplishment should immediately begin after the period (.) and two spaces. No carriage return should be inserted. See example below.**

IMPORTANT!! - MS Word software **MUST** be used with "auto numbering" and "Smart Quotes" turned off. (See Appendix A, Turning Off AutoFormat for Bullets, Lists, Outlines, Smart quotes).

Note: For Question 4, be sure to put the accomplishments in priority order. The system will import them in order. Once imported, if the order is incorrect, they will have to be manually renumbered.
_____

Example of Format for Word file:

Question 3:
In FY 2007, the development of vaccines to increase the life expectancy of cows was tested and….

Accomplishment 1:
Vaccine to increase life expectancy. A vaccine was developed to increase life expectancy…

Accomplishment 2:
Vaccine to increase life expectancy of sheep. A vaccine was developed and tested to increase the life expectancy of sheep, to live for….

Question 5:
Target populations, including small farms, and underserved farms were addressed…

_____

Once the Word file is complete and saved on your computer, go to the List screen. **Note:** You may want to set up a separate directory for the annual reports and save the files in a uniform manner, e.g., using the accession or project number as the file name. To make the loading process quicker, save the files in a directory on your PC or in an external drive rather than on a network drive.

From the List screen, find the project for which you want to enter a 421, and highlight it by placing your cursor on it or by placing a check in the box to the left of the project number. Click the "**Project Info**" tab. Click the "**Load Question**s" button at the bottom of the screen to open the dialogue box (fig. 4).
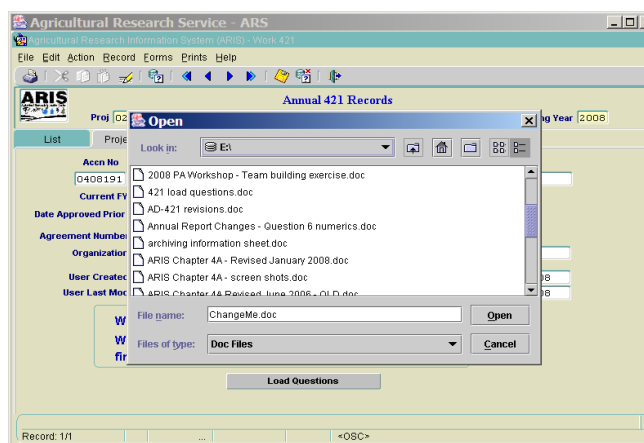
Fig. 4 – Load Questions Dialogue Box

Click "**Look in:**", to find the directory and file name, then click "**Open**". ARIS will automatically insert the response under each question and return to the Project Info screen. A dialogue box will tell you "**Press the OK button to start the upload** (fig 5a)." Press "OK", and once complete, another dialogue box will tell you that the *"***Document Processing is Complete***"* (fig. 5b). Click "**OK**". *Note: This process takes a few seconds. Do not press any keys until the "Document Process is Complete" message box is displayed.*
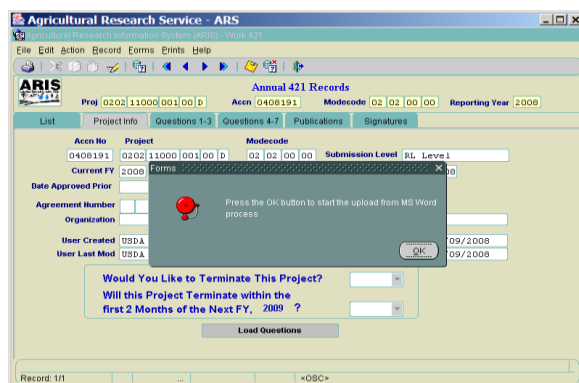
Fig. 5a – Upload Dialogue Box
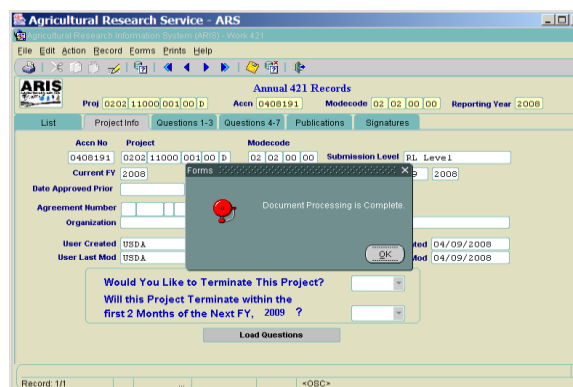
Fig. 5b – Upload Processing Complete

At this point, Questions 1a, 1b, and 5 are now complete.

Next, click the "**Questions 1-3**" tab to move to the next screen to complete Question 2 (fig. 6). Click the "**Milestones**" button under Question 2 to open the Milestones List screen (fig. 7).
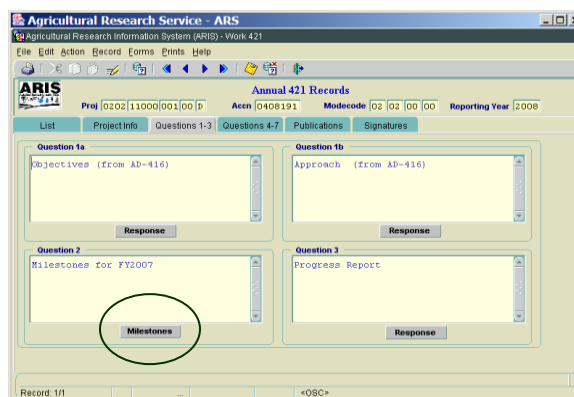
Fig. 6 – Question 1-3
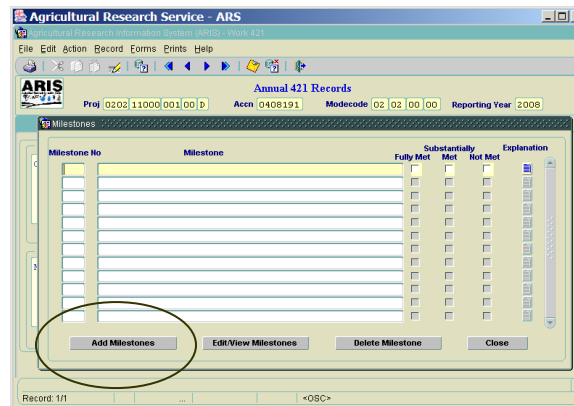
Fig. 7 - Milestones List Screen

To add milestones, click the "**Add Milestones**" button to display the Milestone Data Entry screen (fig. 8a).
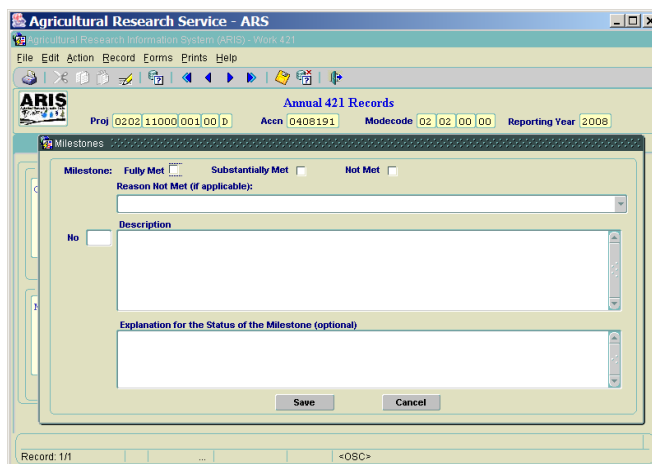
Fig. 8a – Milestones Details Screen
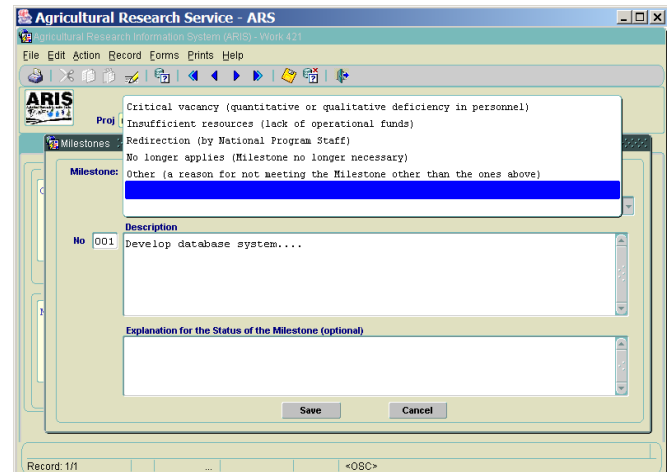
Fig. 8b – List of Values – Reason Not

Enter the milestone number (1, 2, etc.), milestone description, and check only one status box (fully met, substantially met, or not met). If not met, provide the reason by clicking the "**?**" and selecting the reason from the LOV (fig. 8b).   In addition, if "not met" is selected, a brief explanation as to why not met should be provided in the Explanation field.

Describe the milestone using complete sentences. Then, enter a brief explanation in the "explanation" box provided (optional). **DO NOT** enter any explanation in the Milestone description box. Click "**Save**" to return to the previous screen where the milestone will now be displayed.

Continue adding all the milestones that were to be addressed in FY 2010. When finished, click "**Close**" to return to the Questions screen.

Next, the NP/Component/Problem Statement(s) (NP/C/PS) must be selected for Question 3-Progress Report. Click the Question 3 "Response" button. The Progress Report response screen will be displayed (fig. 9a). If Load Questions was used, the Progress Report will be displayed. If not, enter the progress report in the space provided. **Note: New in FY2009, the NP/C/PS is not to be entered directly in the Progress Report. The NP/C/PS designation will be chosen from a LOV as a separate field.**
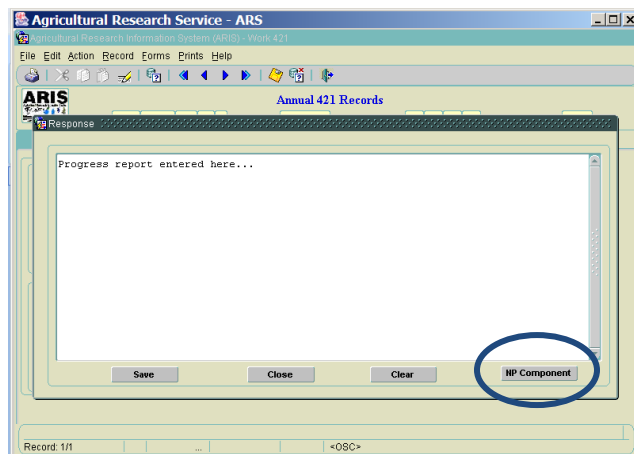
Fig. 9a - Question 3 – Progress Report
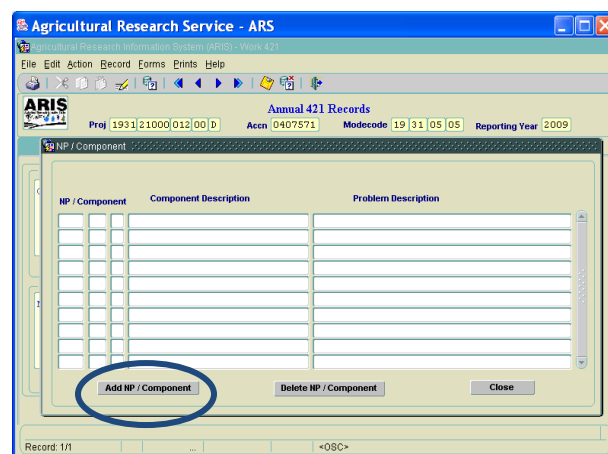
Fig. 9b – NP/Component screen

Once the progress report is completed, click the "**NP Component**" button. The NP/C/PS screen will be displayed (fig. 9b). **NOTE: This is a required field for "D" Projects only.**

To select the NP/C/PS, click the "**Add NP/Component**" button and a LOV will be displayed. (fig. 9c).
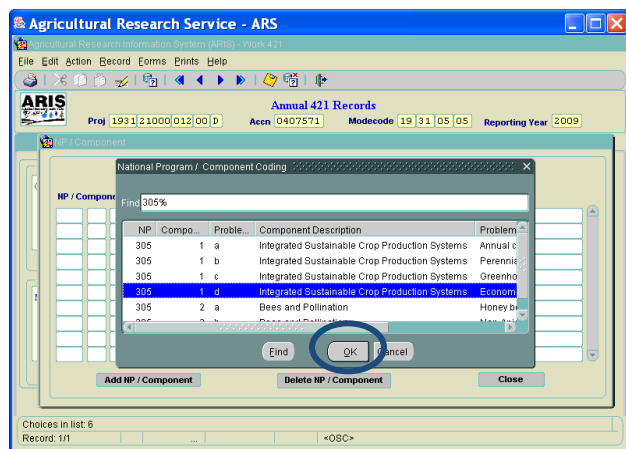
Fig. 9c – NP/Component LOV
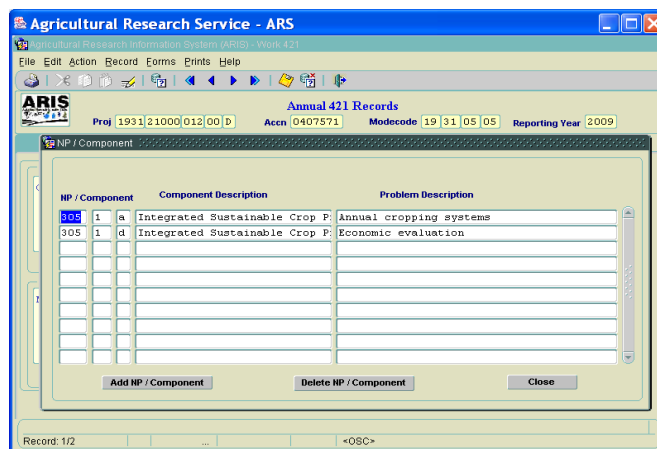
Fig. 9d – Completed NP/Component Designations

Select the appropriate NP/C/PS and click "**OK**". The selection will be inserted in the NP/Component screen (fig. 9d). (Note: more than one can be added as appropriate). Note: Only the NPs listed on the project will be displaed for selection.

When completed, click "**Close**" and "**Close**" to return to the Question 1-3 screen.

Next, go to the Questions 4-7 tab.   Click the "**Response**" button under Question 4. If Load questions was used, the accomplishments will be listed here. If not, enter the Accomplishment(s), then click the arrow next to the accomplishment (fig. 10a) to go to the NP/C/PS screen (fig. 10b). NP/C/PS must be selected for each Accomplishment listed. **NOTE: This is a required field.**
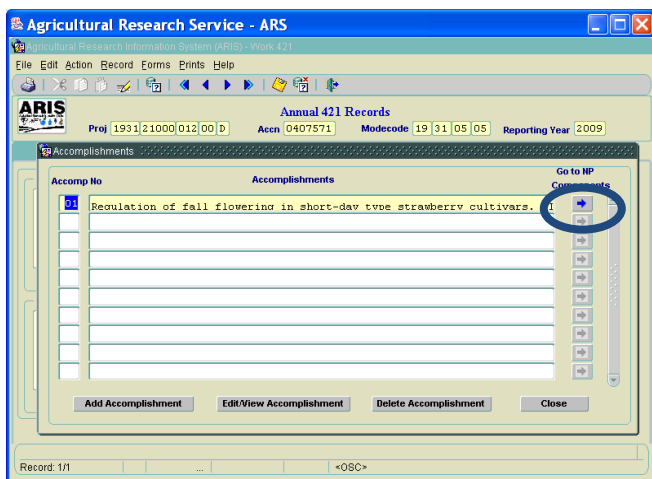
Fig. 10a – Accomplishments screen
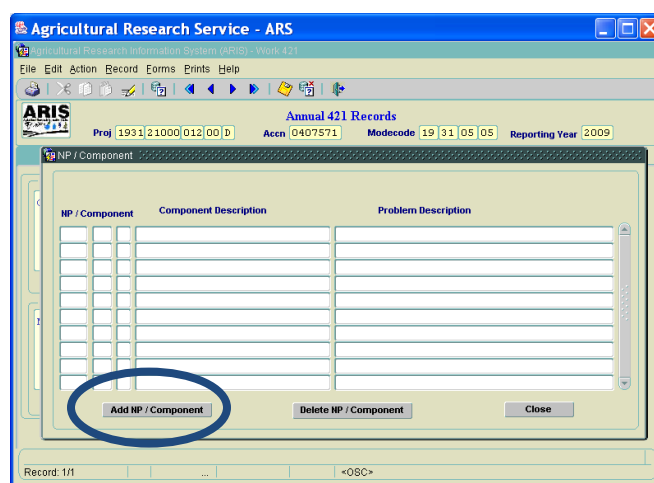
Fig. 10b – NP/Component screen

To select the NP/C/PS, click the "**Add NP/Component**" button and a LOV will be displayed (fig. 10c). Select the appropriate NP/C/PS and click "**OK**". The selection will be inserted in the NP/Component screen (fig 10d). (Note: More than one NP/C/PS can be selected, however, it is preferable to limit the number). (Note: Only the NPs listed on the project will be displayed for selection.)
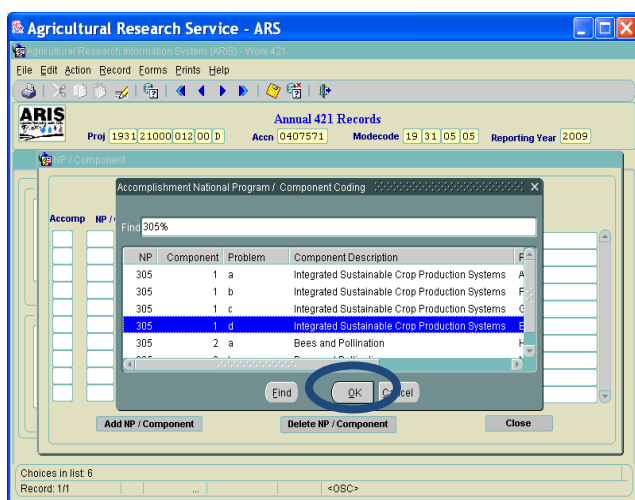
Fig. 10c – NP/C/PS - LOV
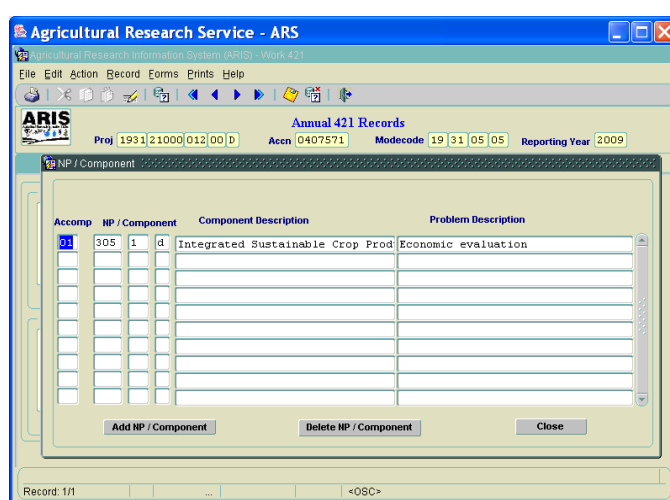
Fig. 10d – Completed NP/Component Designations

When completed, click "**Close**" and "**Close**" to return to the Question 4-7 screen.

Next, enter the responses for Question 6 and Question 7.

Click the "**Response**" button under Question 6 and the Technology Transfer Numerics screen will be displayed (fig. 11a).

Fig. 11a - Question 6 – Technology Transfer

For each of the numeric fields on this screen, the number will automatically propagate in based on the supporting data entered on the Details screens. The numeric CANNOT be entered or modified directly on the Numeric screen.

For the first seven items on the screen, data will automatically populate the Details screens based on the criteria determined for each numeric (see table below for set of criteria).

Numeric	Data Automatically Propagated	Criteria
New CRADAs	Agreement No., Title, and Cooperator	Start date in FY of report; Status = Active
Active CRADAs	Agreement No., Title, and Cooperator	Start date < in FY; Status = Active
New/Active MTAs (Providing Only)	Trans ID and Material Transfer Description (only new MTAs propagate; all are in LOV for selection)	Providing or Select Agent Providing; Status = not In Negotiations or not Abandoned
Invention Disclosures Submitted	Docket No. and Title (only current FY data propagates in; prior year data in LOV for selection if needed)	FY in Report Year; Utility Invention (U); Plant invention (P); Plant Material is a candidate for Plant Protection (PVPC and/or Patent = Yes + application date is blank

New Patent applications Filed	Docket No. and Title (only current FY data propagates in; prior year in LOV)	Application date within FY of report (Plant or Utility inventions)
New Germplasm Releases	Docket No. and Title (only current FY data propagates in; prior year in LOV)	Plant inventions; FY in report year; and Plant material is a candidate for Plant Protection (PVPC and/or Patent) = No or Null
New Commerical Licenses Executed	Docket No. and Title (only current FY data propagates in; prior year in LOV)	Issue date is in FY of report
Web Sites Managed	None	In FY
Other Technology Transfer	None	Technology transferred in FY of report

If data did not propagate in to the first seven numeric fields and details screen, it means that nothing fit the criteria to be added in that category for the fiscal year report. Therefore, no additional information needs to be entered.

If data is populated in, then the Description fields must be filled in describing the technology transferred, by answering the following questions in complete sentence form for each technology:

Description of the Technology; **(Technology)**
Description of the Transfer**;   (Transfer)**
Description of the Customer/User; and   **(Customer/User)**
Demonstrated or Anticipated Impact and/or Outcome **(Impact and/or Outcome)**

Use the labels, which are shown in ( ) above, prior to the response for each answer. (see Appendix A for an examples of a response)

To enter the **<u>required</u>** description information, click the notepad next to the line item (fig. 11b). The Technology Transfer List screen for that numeric will be displayed, which will already have data propagated in (fig. 11c).
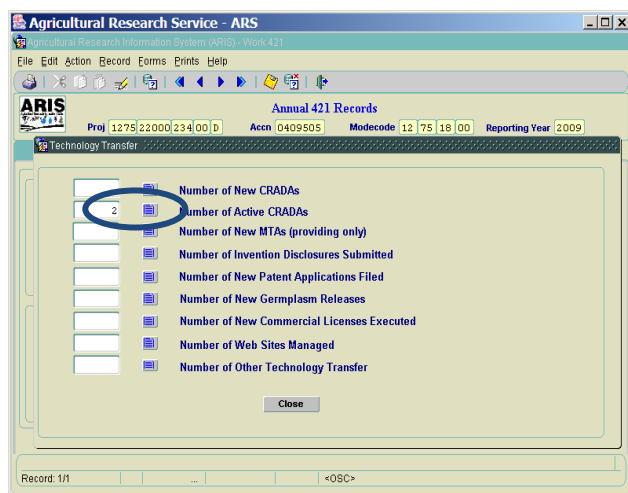
Fig. 11b – Tech Transfer screen w/Numerics
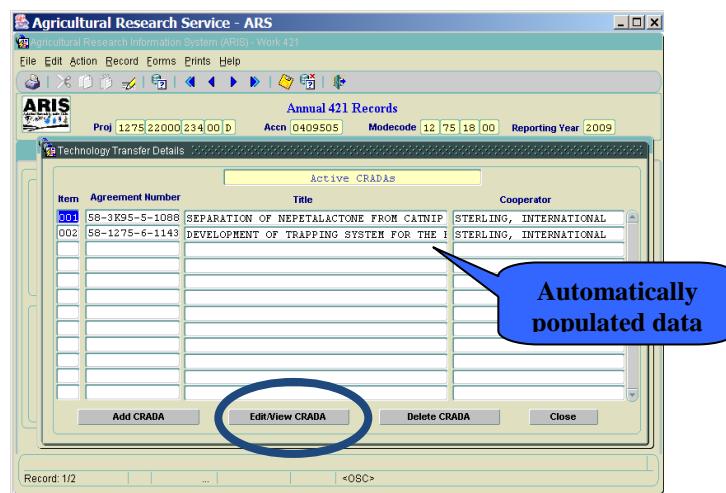
Fig. 11c – Tech Transfer List Screen

Click the "**Edit/View**" button to display Technology Transfer Details Screen (fig. 11d).

Fig. 11d – Tech Transfer Details Screen

Enter the required information in the Description field by manually typing or pasting in from MS Word. Maximum character length is 2,000 characters. **However, the responses should generally not be that long**.

Once data entry is complete, click the "Save" button and you will be returned to the Tech Transfer List screen. Once data entry is complete for all line items, click the "**Close**" button and you will be brought back to the Tech Transfer Numerics screen.

Continue adding information for **all** technology transfer items in the same manner.   If data is entered for the last two numerics (Web Sites Managed and Other Technology Transfer), the Description field must also be filled in, answering the same four questions. Data for these two items is not automatically populated and must be entered manually.

When data entry is complete for Question 6, click the Response button under Question 7 - **International Cooperation/Collaboration**. The Intl Cooperation/Collaboration List screen will be displayed (fig. 12a).

Only answer this question if the project has International cooperation and/or collaboration. This could include agreements with foreign countries and/or any other International cooperation, not associated with an "official" agreement. If there is no International cooperation, go directly to the Publications tab.
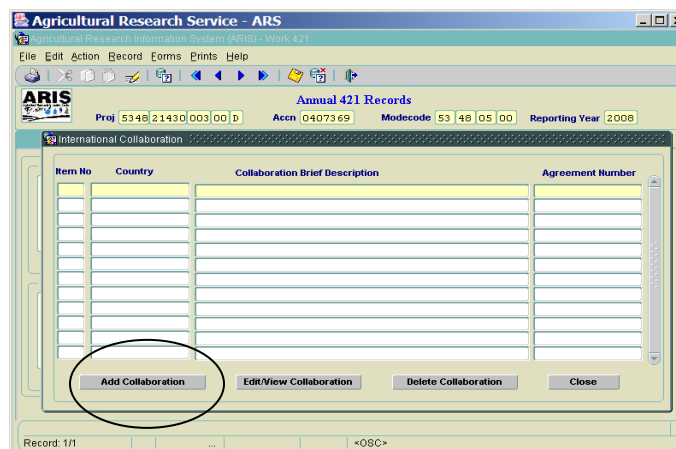
Fig. 12a – Intl Coop/Collab List Screen

To enter Intl Cooperation, click the "**Add Collaboration**" button. The Intl Collaboration Details screen will be displayed (fig. 12b).
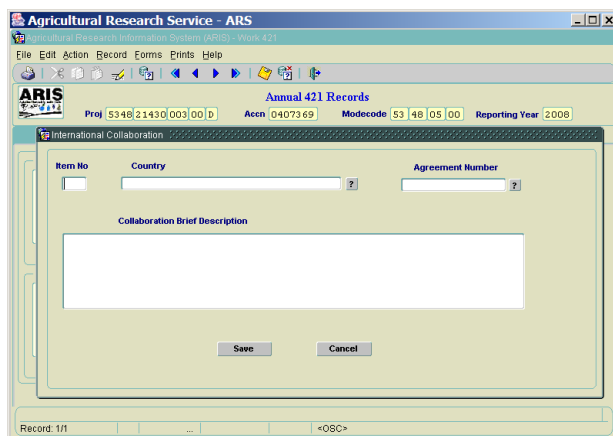
Fig. 12b – Intl Coop/Collab Details Screen
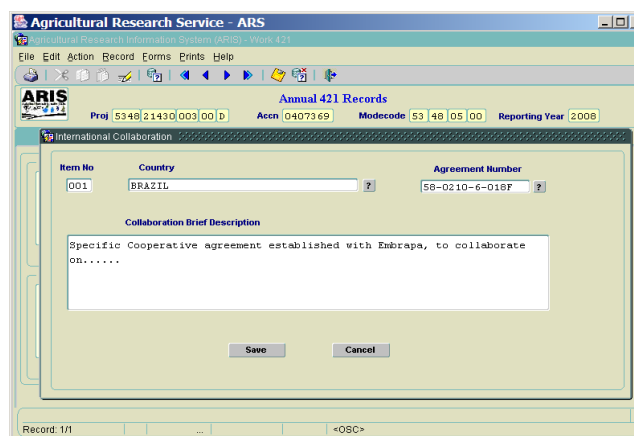
Fig. 12c – Intl Coop/Collab Details - Completed

Enter Item No., select the country from the LOV, select an agreement number, if applicable, and give a brief description of the cooperative/collaborative effort (1,000 character maximum per item) (fig. 12c). Enter separate line items for each collaborative effort. After each addition, click the save button.

NOTE: Each entry should include a description of the collaboration/cooperation, including the name of the international institution and a brief description of the research and the overall objectives of the activity. Scientist names should not be listed.

Once all Intl Collaboration(s) have been entered (fig. 12d), click "**Close**", then, click the Publications tab to move to the Publications screen (fig. 13a).
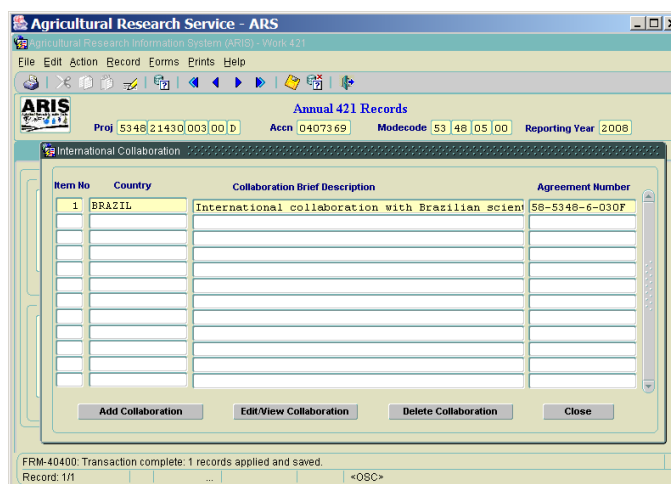
Fig. 12d – Intl Coop/Collab List Screen - Completed

All publications that meet the requirements for entry on the annual report will be automatically propagated by the system. Each publication should be reviewed for accuracy and additional publications added as needed.

To add additional publications, click the "**Add Publication**" button to display the Publication Details screen (fig. 13b).
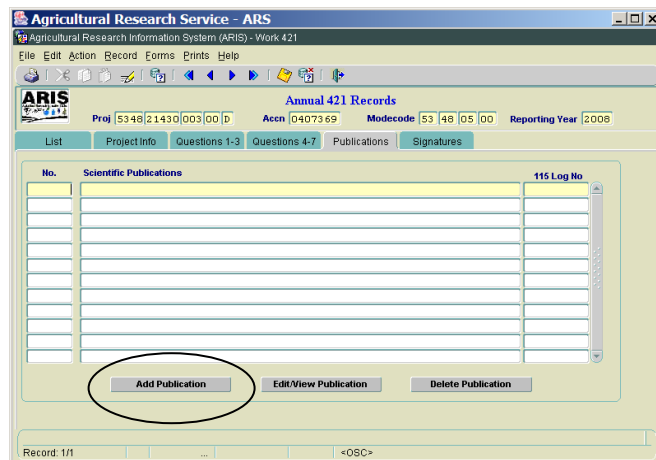
Fig. 13a – Publications Screen
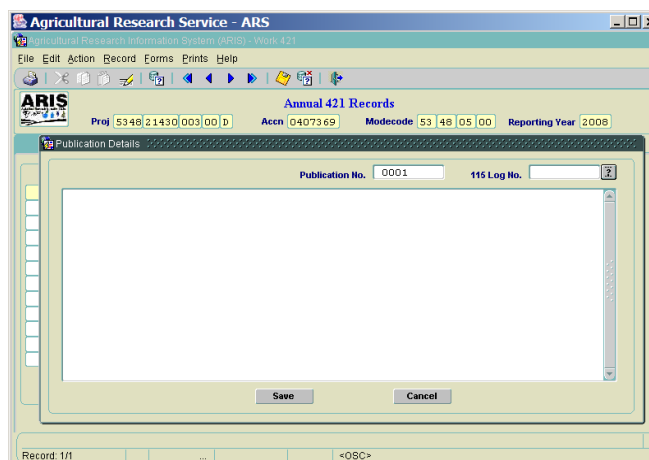
Fig. 13b – Publications Details Screen

Enter the publication number (e.g., 01, 02, 03.....). The publication number is a sequential number for the list of publications. Click the "**?**" next to the 115 Log number field to display the 115 Log Number Reference screen (fig. 13c).   Search for the 115 by entering the log number with "**%**" before and after the number (e.g., %195046%) on the "**Find**" line. Click "**Find**". When found, click "**OK**" (fig. 13d). ARIS enters the log number, as well as the citation information (fig. 13e). Click "**Save**" to return to the Publication screen where the publication is now listed (fig. 13f).
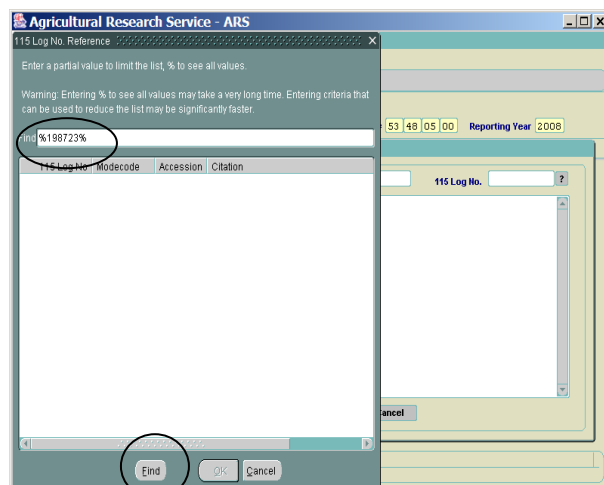
Fig. 13c –Log No. Reference Screen
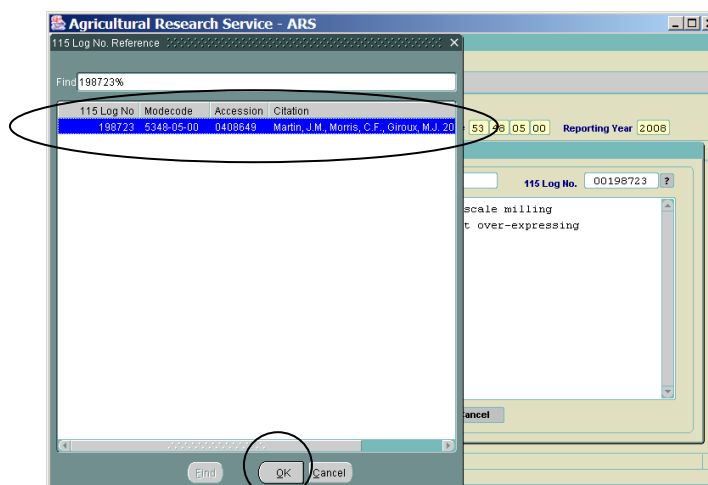
Fig. 13d - Log No. Query and Selection
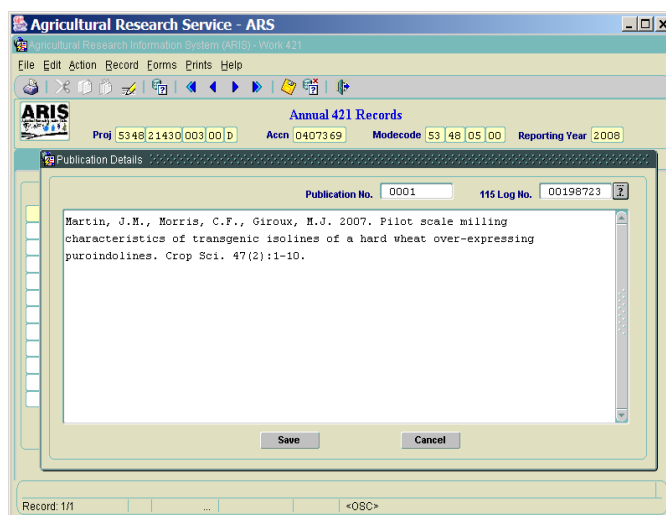
Fig. 13e – Citation Entry from ARS-115
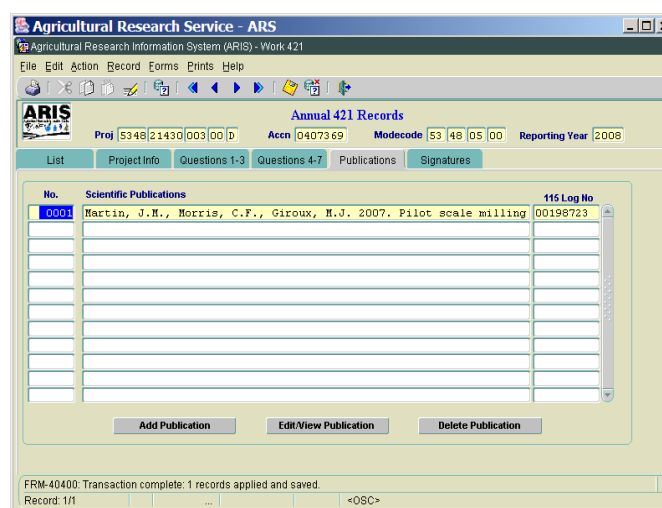
Fig. 13f – Completed Publication List

Note: Citations cannot be modified on the 421. Therefore, if incorrect, the data will need to be corrected by creating a Work 115 record and modifying as necessary. Once modified, the changes will automatically be propagated to the 421.

To delete a publication, highlight the publication and click the "**Delete**" button. If necessary, renumber the publications listed as appropriate.

Continue adding all the publications. Once complete, click the "**List**" tab to return to the List screen.

Data entry of the 421 Annual Report is now complete.

Text Field Sizes

Question:	Maximum Size:
Question 2: Milestones	1,000 characters per milestone; 500 characters per description
Question 3: Progress Report	3,200 characters
Question 4: Accomplishments	2,000 characters each/ maximum of 39 accomplishments per project
Question 5: Target Population	Unlimited
Question 6: Technology Transfer	2,000 per description field
Question 7: International Cooperation	1,000characters per description field

Modifying 421s

To modify a 421 Annual Report before approving, highlight the 421 from the List screen, then click the tab (Project Info, Questions 1-3, Questions 4-7, or Publications) and modify the text. When modified, click the "**Save**" button.

If an entire response is incorrect, use the "**Clear"** button at the bottom of the Response page to clear the entire response. Then, add the new response. Once modifications are complete, print and/or approve the 421.

Note: If the entire 421 needs replacement, click the "**Load Questions**" button and enter the revised MS Word file. The new file will overwrite the responses currently in ARIS for Questions 3, 4, and 5. Questions 1a, 1b, 2, 6, 7 and publications will not be impacted by the reload. Modify these online as necessary.

Printing Listing of 421 Shells

To print a list of 421 shells in your Work file, go to your Work file List screen. Click "**Mark All**" and then click "**Print**" and "**Summary**" or "**Summary w/o Title**."   Adobe Acrobat will display the print file. Click the printer icon to print. The Summary listing includes the project number, accession number, mode code, title, start date, and termination date. The Summary w/o Title will include all of the above without the title. You can print a list of all Active projects and compare the two lists for accuracy. Some projects may have become Active after the initial creation of the Annual Report shells and may need to have shells added. Please contact your Area Program Analyst to have shells added (or deleted).

Printing 421s from Work File

To print, mark the project(s) to be printed on the List screen and click "**Prints**" and "**AD-421**". Adobe Acrobat launches and displays the print file. To print the file, click the printer icon, and press "**Enter**".

Note: If a question has not been answered, the question will not print on the 421. Therefore, for most subordinate projects, only Question 3 will print.

Approving 421s

From the List screen, highlight the 421 to be approved and click the "**Signatures**" tab. The Signature screen will
be displayed (fig. 14). Enter the signature on the appropriate line, enter the approval date, and check the approved
box. Click the "**List**" tab. ARIS will prompt you to save. Click "**Yes"** and ARIS will return to the List screen.
The approved 421 will move immediately to the next approval level.

Fig. 14 – Signature Screen

Printing 421s from Active

ARIS provides multiple options for printing an AD-421. The best option is in "**Active**" as it allows printing AD-
421s across multiple years. The other locations in ARIS to print 421s only allow printing the most recent FY AD-
421.

To retrieve and print a 421, click "**Active**" and "**421**" from the Research Documentation screen (fig. 15) to open a
query screen (fig. 16).

Fig. 15 - Active 421 Records

Fig. 16 – Active 421 Query Screen

Enter the query criteria, e.g., NP 103, "D", FY 2005 (fig. 17). Click "**Execute Query**" on the Tool bar to display a list of projects meeting the query criteria (fig. 18).

Fig. 17 - Query - NP 103, Project Type D, FY 2005

Fig. 18 - Query Result List Screen

To print all records, click "**Action**" and "**Mark All Records**". Click "**Prints**" and select the appropriate print option (fig. 19) to open Adobe Acrobat and display the print file (fig. 20). **Note:** When printing large reports, it is best to split the print job into smaller segments.

Fig. 19 – Print Options

Fig. 20 - Adobe Acrobat Print File

Extract to Word

The "Extract to Word" option converts the ARIS AD-421 data to a Word file. To extract to Word, click "**Prints**" and "**Extract to Word**" from the Menu bar (fig. 21). Click the option required and ARIS opens MS Word, displays the AD-421 file and minimizes the Word window. To print, restore the Word window and click the printer icon on the Word Tool bar (fig. 22).
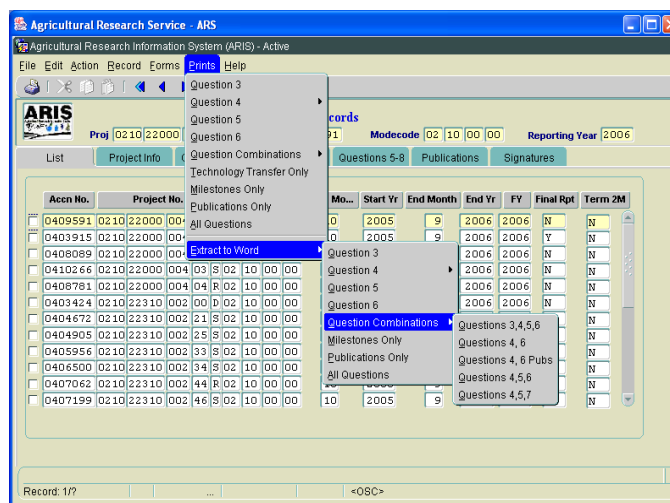

Fig. 21 – Extract to Word Print Options

After minimizing the Word window, ARIS displays a "SaveAs" dialogue box (fig. 23). Change the file name and directory and click "**Save"** (fig. 24). This file can be later retrieved, modified, printed, etc., as needed.
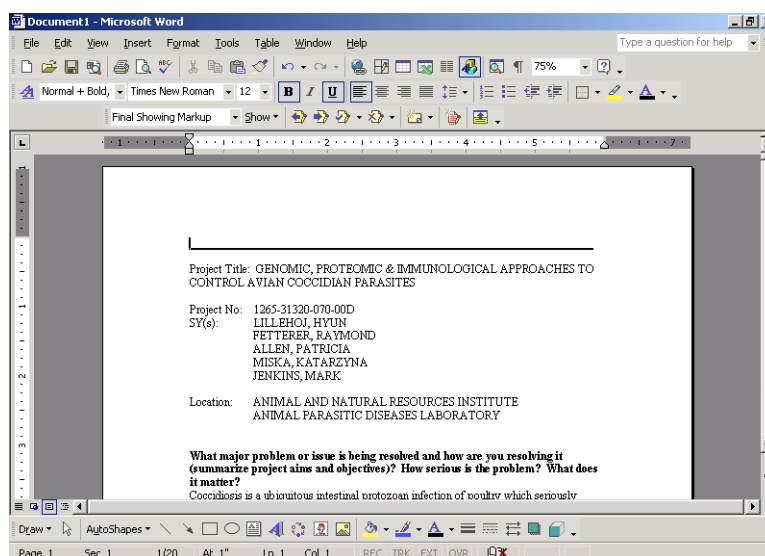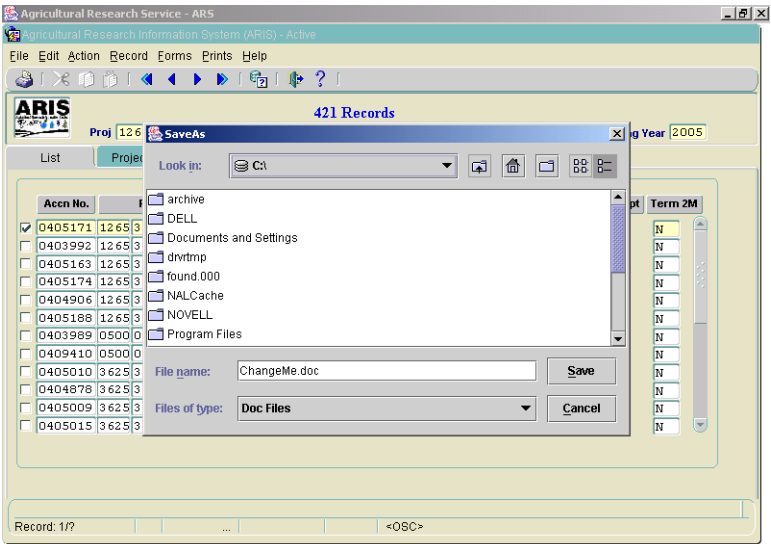

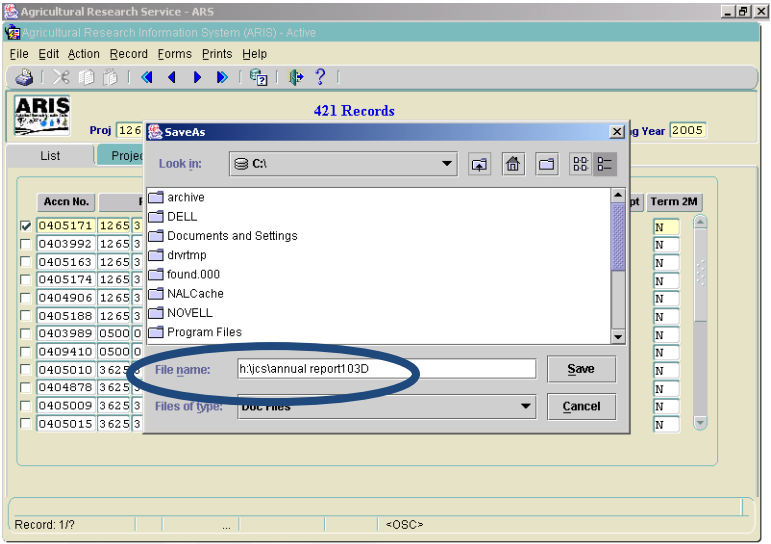**Fig. 22 - Annual Report Extracted to Word**

Fig. 23 - SaveAs Dialogue Box

Fig. 24 - Changed File Name and Location

Appendix A

Turning Off AutoFormat for Bullets, Lists, Outlines, and Smart Quotes

To turn off the AutoFormat feature in Word, click the "**Tools**" menu, and "**AutoCorrect**" (fig. 25). This will display the AutoCorrect Dialogue box (fig. 26). Select the "**AutoFormat**" tab on the AutoCorrect Dialogue box (fig. 27).
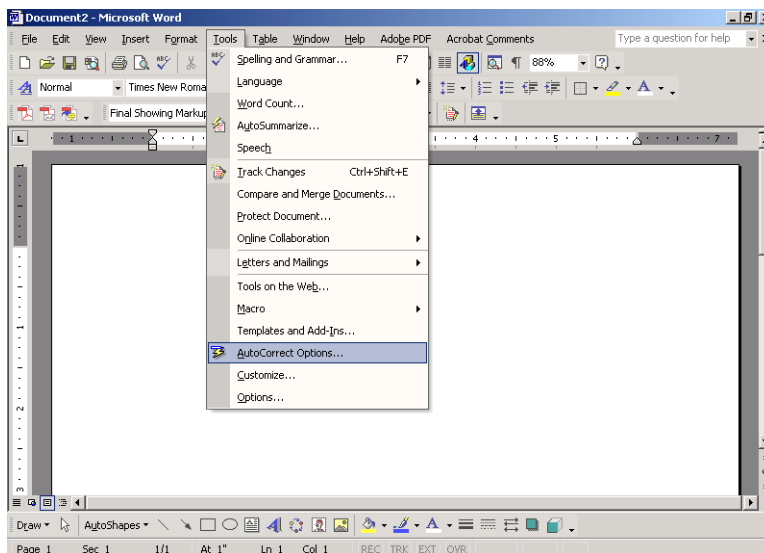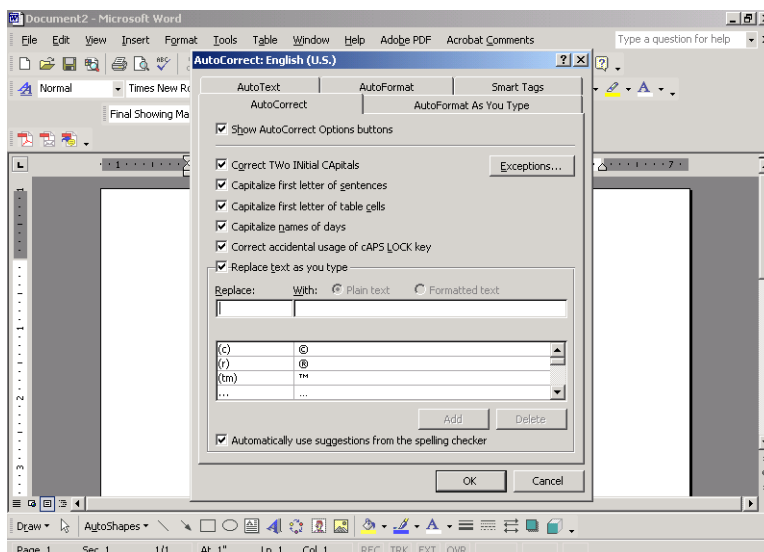

Fig. 25 - MS Word Tools Options Screen

Fig. 26 - AutoCorrect Dialogue Box

Clear the checks in "**List styles**", "**Automatic bulleted lists**", and **"Straight quotes" with "smart quotes"** by clicking each box (fig. 28). Click "**OK**" to return to your document.
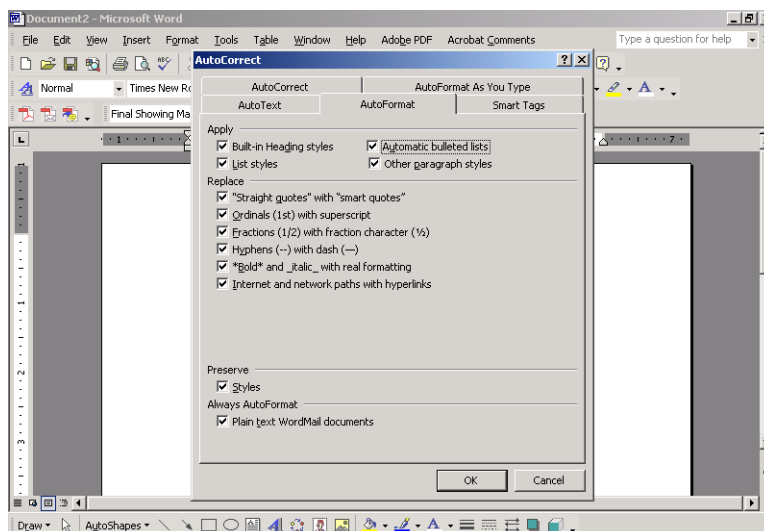

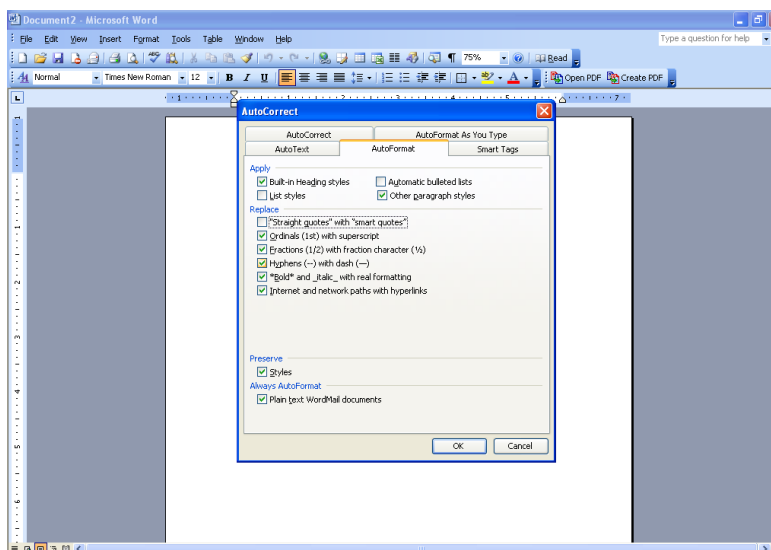**Fig. 27 – AutoCorrect Dialogue Box, AutoFormat Tab**

**Fig. 28 - AutoCorrect Dialogue Box, AutoFormat
with Cleared Boxes**

Follow the instructions above to turn off the "Bullets", "Lists", "Outlines", and "Smart Quotes" on the "AutoFormat As You Type" tab as well.